

FORM PTO-1390  
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

SPO-599

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

**09/914789**

INTERNATIONAL APPLICATION NO.  
PCT/JP01/00097

INTERNATIONAL FILING DATE  
11 January 2001

PRIORITY DATE CLAIMED  
11 January 2000

TITLE OF INVENTION

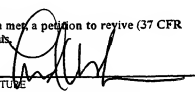
ZINC BORATE, METHOD OF PREPARING THE SAME AND USE THEREOF

APPLICANT(S) FOR DO/EO/US

Hiroshi SAWADA, Hiroshi IGARASHI, Akira TATEBE, Kazunori SAKAO

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
  2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
  3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
  4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
  5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
    - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
    - b. ☒ has been communicated by the International Bureau.
    - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
  6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
    - a. ☒ is attached hereto.
    - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
  7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
    - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
    - b. ☐ have been communicated by the International Bureau.
    - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
    - d. ☒ have not been made and will not be made.
  8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
  9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
  10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11 to 20 below concern document(s) or information included:**
11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
  12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
  13. ☒ A **FIRST** preliminary amendment.
  14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
  15. ☐ A substitute specification.
  16. ☐ A change of power of attorney and/or address letter.
  17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
  18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
  19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
  20. ☒ Other items or information: 25 sheets drawings, 3 sheets photographs corresponding to Figs. 2, 3, 5, 7, 9, 11, 13, 15, 17, 19, 21 & 23.

U.S. APPLICATION NO. (if known, see 37 CFR 1.1) <b>09/914789</b>		INTERNATIONAL APPLICATION NO. <b>PCT/JP01/00097</b>		ATTORNEY'S DOCKET NUMBER <b>SPO-599</b>	
21. <input checked="" type="checkbox"/> The following fees are submitted:				CALCULATIONS PTO USE ONLY	
BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):					
Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO. ....				\$1000.00	
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO .....				\$860.00	
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....				\$710.00	
International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) .....				\$690.00	
International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) .....				\$100.00	
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>				<b>\$ 860.00</b>	
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)). <input type="checkbox"/> 20 <input type="checkbox"/> 30				<b>\$ 0</b>	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	21 - 20 =	1	x \$18.00	\$ 18.00	
Independent claims	3 - 3 =	0	x \$80.00	\$ 0	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	\$ 0	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$ 878.00</b>	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				+ \$ (439.00)	
<b>SUBTOTAL =</b>				<b>\$ 439.00</b>	
Processing fee of \$130.00 for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492(f)). <input type="checkbox"/> 20 <input type="checkbox"/> 30				<b>\$ 0</b>	
<b>TOTAL NATIONAL FEE =</b>				<b>\$ 439.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				<b>\$ 40.00</b>	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$ 479.00</b>	
				Amount to be refunded:	\$
				charged:	\$
<p>a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>479.00</u> to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>19-1980</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p> <p><b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO:</p> <p style="margin-left: 40px;">Sherman &amp; Shalloway 413 N. Washington Street Alexandria, VA 22314 Phone 703-549-2282 Fax 703-836-0106</p> <div style="text-align: right; margin-top: 20px;"> <p>SIGNATURE </p> <p>Leonard W. Sherman</p> <p>NAME</p> <p>19,636</p> <p>REGISTRATION NUMBER</p> </div>					

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of  
SAWADA, Hiroshi et al.  
Application No. PCT/JP01/00097  
International Filing Date: January 11, 2001  
For: Zinc borate, method for preparing the same and use thereof

## VERIFICATION OF TRANSLATION

Honorable Commissioner of Patents and Trademarks  
Washington, D.C. 20231

KEIJI TOKIEDA residing at 2-20-204, Kaitori 2-chome, Tama-shi, Tokyo,  
Japan, declares:

- (1) That I know well both the Japanese and English languages;
- (2) that I translated the International Application No.  
PCT/JP01/00097 from Japanese to English;
- (3) that the attached English translation is a true and correct  
translation of the International Application No. PCT/JP01/00097 to the best of  
his knowledge and belief; and
- (4) that all statements made of my own knowledge are true and that  
all statements made on information and belief are believed to be true, and  
further that these statements are made with the knowledge that willful false  
statements and the like are punishable by fine or imprisonment, or both, under  
18 USC 1001, and that such false statements may jeopardize the validity of the  
application or any patent issuing thereon.

Date: August 27, 2001



Keiji Tokieda